

Scale Degree $\hat{6}$ in the 19th Century: Ländler and Waltzes from Schubert to Herbert

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Abstract:

Jeremy Day-O'Connell identifies three treatments of scale degree 6 in the major key through the nineteenth century: (1) classical $\hat{6}$; (2) pastoral $\hat{6}$; and (3) non-classical $\hat{6}$. This essay makes further distinctions within these categories and documents them in the Ländler repertoire (roughly 1800-1850; especially Schubert) and in the waltz repertoire after 1850 (primarily the Strauss family). The final case study uses this information to explain some unusual dissonances in an operetta overture by Victor Herbert.

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Introduction

To a considerable extent, this essay can be understood as a lengthy supplement to a specific point in Jeremy Day-O'Connell's excellent article, "The Rise of $\hat{6}$ in the Nineteenth Century," in *Music Theory Spectrum* 24n1 (2002).

Day-O'Connell distinguishes between three types of treatment of the sixth scale degree in the major key: (1) classical $\hat{6}$; (2) pastoral $\hat{6}$; and (3) non-classical $\hat{6}$. Classical $\hat{6}$ labels the eighteenth century status of $\hat{6}$ in "its normative role as the upper adjacency to $\hat{5}$ " (41). Pastoral $\hat{6}$ is a sub-class of classical $\hat{6}$ conforming to that familiar style topic, which encompasses the rural, pleasure in the outdoors, simplicity, the childlike, and even a religious pastoral associated with Christmas. Non-classical $\hat{6}$ is a cadential melodic figure, $\hat{6}$ - $\hat{8}$, that is distinctively nineteenth-century and that undermines the neighbor-note constraint by direct melodic movement in the opposite direction.

Here are examples of each of the three categories. The first two are mine, the third is from Day-O'Connell (his example 38, p 57).

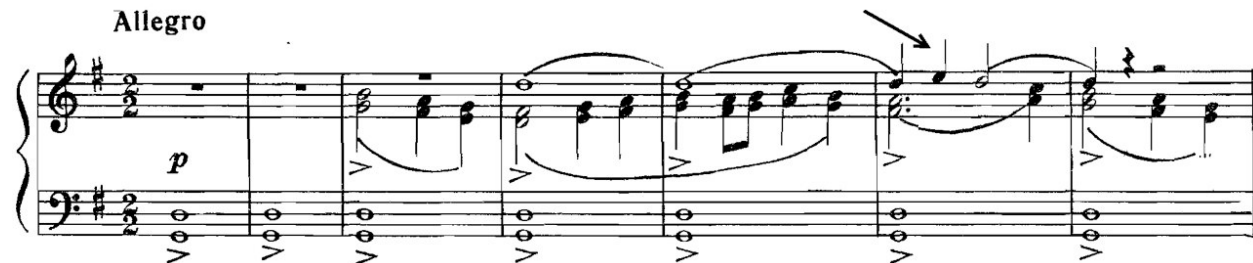
Classical $\hat{6}$: Mozart, 6 Deutsche Tänze, K 606, trio (1791). All three typical usages appear here: at (a), the simple neighbor note; at (b), the expressive upper $\hat{6}$ over a dominant resolving within the chord; and at (c) $\hat{6}$ - $\hat{5}$ figures alternating over tonic and over dominant harmony.

The image displays a musical score for Mozart's 6 Deutsche Tänze, K 606, trio (1791), in 3/4 time, key of B-flat major. The score is divided into three systems, each illustrating a different usage of the sixth scale degree ($\hat{6}$).

- System 1 (a):** Shows a simple neighbor note usage. The treble staff has a melodic line with a $\hat{6}$ (F) moving to $\hat{5}$ (E). The bass staff has a harmonic line. A box labeled 'a' highlights the $\hat{6}$ in the treble staff.
- System 2 (b):** Shows an expressive upper $\hat{6}$ over a dominant resolving within the chord. The treble staff has a melodic line with a $\hat{6}$ (F) over a dominant chord (C7). The bass staff has a harmonic line. A box labeled 'b' highlights the $\hat{6}$ in the treble staff.
- System 3 (c):** Shows $\hat{6}$ - $\hat{5}$ figures alternating over tonic and over dominant harmony. The treble staff has a melodic line with $\hat{6}$ (F) and $\hat{5}$ (E) figures. The bass staff has a harmonic line. Two boxes labeled 'c1' and 'c2' highlight the $\hat{6}$ and $\hat{5}$ figures in the treble staff.

Pastoral $\wedge 6$: Adam, *Giselle*, Act 1 opening. Rural/urban, peasant/aristocratic class distinctions are basic to the story in *Giselle*. The ballet opens on a rural scene, and Adolphe Adam provides memorable pastoral figures. In (a) the drone D₅ in the upper-most voice is briefly embellished by a neighbor note $\wedge 6$; in (b), the neighbor figure becomes a prominent feature of the melody.

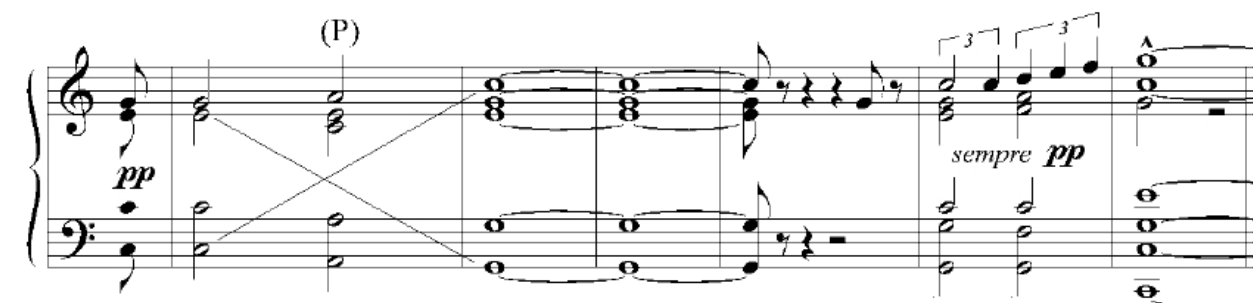
(a)



(b)



Non-classical $\wedge 6$: Mahler, Symphony No. 1, rehearsal 26. Here $\wedge 6$ acts as a "pentatonic passing tone" (Day-O-Connell, 55).



There are two other categories of $\wedge 6$ in nineteenth-century usage. The first of these Day-O'Connell describes as an extension of classical practice: $\wedge 6$ treated as an appoggiatura or suspension, resolving to $\wedge 5$, is "accidentally" resolved directly over another chord or is held so long that the resolution either doesn't occur at all or is pretty much irrelevant, musically and expressively: "Nineteenth-century composers' seeming infatuation with $\wedge 6$ [powered] the evolution from $\wedge 6$ – $\wedge 5$ appoggiaturas to the use of additive harmony" (46).

[Scale degree] $\wedge 6$ became a veritable hallmark of the salon and ballroom styles; waltzes of Chopin and Strauss are peppered with these characteristic appoggiaturas on $\wedge 6$ (over

both I and V7), no doubt harking back to the spirit of folk-dance and the world of Schubert's Ländler. [Such dances] demonstrate an increased freedom in usage—more “harmonic” than “melodic”—but an eventual resolution to $\hat{5}$ does occur. [To be sure], the flourishing of added-sixth chords in the nineteenth century hardly required intensive cultivation; in reference to triadic harmony, the sixth is, after all, the only chordal additive that forms a consonance with the root. (45-46; text edited down)¹

By the 1860s, both I^{add6} , IV^{add6} , and iv^{add6} were all well established in musical practice. They then join V_9 and V_{11} in the inventory of extended chords. The last of the set, V_{13} , appears incidentally in the 1840s (where $\hat{3}$ is an escape tone from $\hat{2}$ in a cadence) but only becomes common as an independent sonority in the 1890s.

The second additional category is another—and I would argue more common—kind of non-classical $\hat{6}$, one that denies the older neighbor-note status of $\hat{6}$ by ascending by step to $\hat{7}$, which then moves onward to $\hat{8}$ in the cadential resolution. I have written frequently about these ascending cadence gestures.²

Note how easily this is managed in the second phrase of the opening of *Giselle*, where the erstwhile neighbor $\hat{6}$ becomes a $\hat{6}$ passing on to $\hat{7}$.



In part I of this essay, then, I will search the repertoire of what Litschauer and Deutsch call the

¹ I have relied on Jeremy Day-O'Connell's article because it was available to me at the time of writing. You should know that he develops his ideas to much greater extent in a book, *Pentatonicism from the Eighteenth Century to Debussy* (Rochester, NY: University of Rochester Press, 2007), in which a version of the article is the first chapter.

² Here are some citations: my article on the ascending *Umlinie* in *Journal of Music Theory* 1987; a PDF essay published on Texas Scholar Works platform: *Rising Lines in the Tonal Frameworks of Traditional European Music* (<https://repositories.lib.utexas.edu/handle/2152/29530>). See also my *Table of Compositions with Rising Lines* (<http://hdl.handle.net/2152/29546>); and my blog *Ascending Cadence Gestures in Tonal Music*: <http://ascendingcadencegestures.blogspot.com>.

“urban Ländler style”³ of the first quarter of the nineteenth century for instances of any of the five categories listed above: classical ^6 of course, but also pastoral ^6, non-classical ^6 (which actually does not occur), “extended ^6,” and the non-classical “rising ^6.” In Part II, I will focus on “extended ^6” in the waltz repertoire after 1850.

A caveat: I do believe that the various waltzing dances, along with the polka in the 1840s, were very important in establishing nineteenth-century treatments of ^6 and the more complex harmonic entities that followed from prolonged appoggiaturas and suspensions. Anything in this essay notwithstanding, I do not consider that the waltz (in any of its several forms) was entirely responsible for those changes. That does not take away from the fact that the Ländler in the first quarter of the nineteenth century is a particularly fruitful repertoire for study of ^6, and that is why I have chosen it for the first part of this essay. Later music in Ländler style, however, belongs largely to nostalgia (notably, the waltzes of Brahms). By mid-century, the familiar, faster “Viennese waltz” of the younger Strausses had swept away earlier forms of the dance. In dance practice, the transformation had actually happened earlier, in the 1830s, when the slower *valse à deux temps* was displaced by the faster *valse à trois temps*.

My particular concern in the later repertoires (as discussed in Part II) was to find good examples of the evolution of extended sonorities generated by elided resolutions of ^6, but also of ^7 and ^8.

On a broader level, this essay can be regarded as a contribution to the history of the development of extended chords over the course of the nineteenth century.

³ Litschauer and Deutsch don’t use precisely this term, but they do make a sharp distinction between traditional (and rural) styles and their urban counterparts: “formal and stylistic criteria [that] apply . . . to the Ländler of Schubert’s contemporaries [rarely show the] the traditional prototype. . . . [Instead,] they reveal themselves as examples of an urban dance music, in which the stylized dance forms of the middle class mediated the rural and folk traditions” (47).

Part I: Before 1850

Background

The Ländler and the violin

From Walburga Litschauer's introduction to the first volume of dances (in the *Neue Schubert* complete works edition [1989]):

The term Ländler (or "Landler") was already known in the early eighteenth century. The label served as a general name for folk dances in a moderate triple meter (quarter note at about 120) that were common in the south-German and Austrian language regions. The name derives presumably from the music of "people of the land" [Landvolk]. From about 1760 on, the term no longer applied generally to traditional social dance but instead to the dance customs of rural peoples. The Ländler as a musical type came into the suburbs of Vienna at the beginning of the nineteenth century through the "Linzer Geiger" [fiddlers from Linz], who came along with Danube boatsmen to the imperial city. They performed in taverns and guest houses with a characteristic trio of two violins and a bass.

The choreography of the Ländler is that of a picturesque courting dance. Although the steps are simple, the couples must execute complicated arm figures, for which a moderate tempo is required. The Ländler thus, like the Deutsche, is distinct from a group round dance [that is to say, it is a couple or partner dance]. Like the Deutsche and the waltz, the musical form of the Ländler is usually binary, where both sections are eight bars that can be repeated *ad libitum*.

Despite rich diminution-technique, many of Schubert's Ländler show a rural or folk character in their simple harmonic progressions, arpeggiated melodic shapes, and triadic motives. (XI; my translation)

Thus, although we do have a certain concept of what a Ländler was, that is almost entirely confined to Schubert's generation, or the first quarter of the nineteenth century.⁴ Here are two examples, one from Michael Pamer (*Neue brillante Solo Ländler*, book 9 (1827)),⁵ widely

⁴ For more on Ländler, Deutsche, and waltz in Schubert's generation, see my Schubert blog at <http://hearingschubert.blogspot.com> and my PDF essay derived largely from blog posts: *Dance and Dancing in Schubert's Vienna*, on the Texas Scholar Works site: <https://repositories.lib.utexas.edu/handle/2152/29532>

⁵ The file was downloaded from IMSLP, a scan of a copy in the Bavarian State Library. The complete title for Pamer's twelve volumes is *Neue brillante Solo Ländler für die Violine mit willkürlicher Begleitung eine zweyten Violin und Baß, verfasst und zum Bedarf für Hausbälle herausgegeben von Michael Pamer, Musik Direktor im Saale zur Schwan in der Roßsau*.

acknowledged as a principal influence on the professional dance musicians of Schubert's generation (in particular on Josef Lanner and Johann Strauss, sr.); and one from Schubert (D 378n2).

Book 9 in Pamer's twelve-volume collection of *brillante Ländler* has two parts. In each, six sixteen-bar dances are variants or variations of each other in the sense that they are all provided with the same accompaniment for a second violin and bass (the "Linzer Geiger" ensemble, in other words). The first number in part 2 is given here. Note the simple neighbor figure in bar 1, the accented neighbor $\wedge 6$ in bar 4, and the appoggiatura B6 (over V7) in bar 10.

Two additional features are of particular interest: (1) the appoggiatura in bar 12 paralleling the one in bar 10—this sharpens the expression of what might easily have been a repetition of $\wedge 6$ - $\wedge 5$ over I (I have rewritten those measures in the second example); (2) the "hanging" 7 over V7 in bar 15 and the rising cadential gesture in the lower voice.



(mm. 9-12 rewritten)



The strongly violinistic figures in the Schubert example below are genuine: it was composed first for that instrument, not for the piano. (It is often forgotten that Schubert was a skilled violinist, by the way; in fact, it is likely that throughout his lifetime he had a violin at his disposal while composing more often than he did a piano.)

At (a) the simple neighbor note embellishment, so very easily done on the violin; at (b), however, a very early instance of the "accidental" failure of resolution within the same chord—we might "imagine" that G5 is somehow "conceptually" resolved within the dominant chord, before the tonic with its F5 arrives in the next bar, but, really, even the most limited prolongational hearing will connect G5 in one bar directly to F5 in the next. The V9 chord arises through multiple instances of this sort of figure. Note that the structural consequences are greater at (c), where V9 seems to have become the cadential dominant.

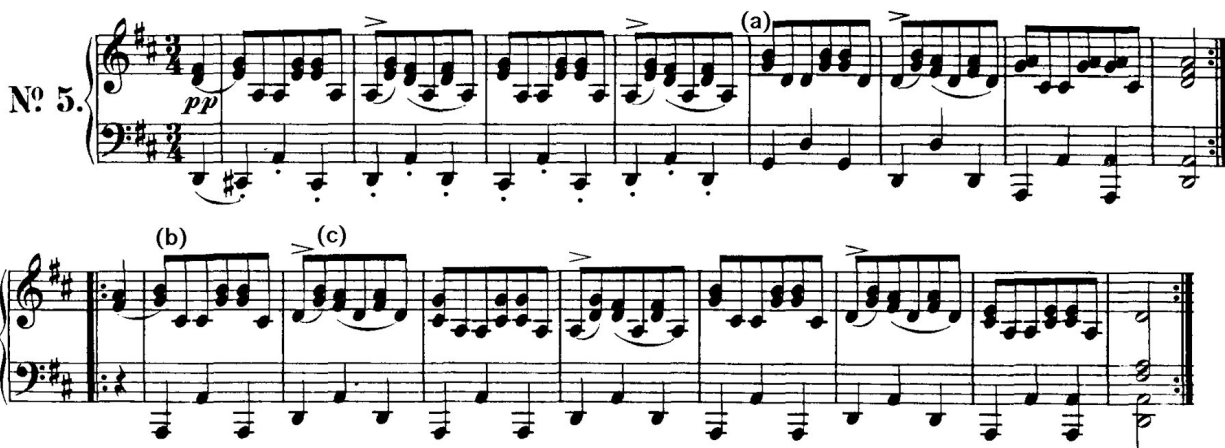
Nº 2.

The musical score for N° 2 is in 3/4 time, key of B-flat major. It consists of two systems. The first system begins with a piano (p) dynamic. The melody in the right hand starts with a half note G4, followed by a quarter note A4, and then a series of eighth notes. A box labeled 'a' highlights the first two measures. The bass line consists of quarter notes G2, F2, E2, and D2. The second system begins with a forte (f) dynamic. The melody continues with eighth notes. A box labeled 'b' highlights the first two measures of this system. The bass line consists of quarter notes G2, F2, E2, and D2. A box labeled 'c' highlights the final two measures of the piece, which end with a double bar line.

I should also note that Litschauer and Deutsch say that “the folk musicians realized the Ländler melodies in streams of parallel voiceleading in the two violins, [but] the Ländler of art music were conceived first of all as a soloistic melody” (1997, 43; my translation). This certainly makes sense in relation to the Pamer and Schubert examples above. Whether that applies to the performance tradition of the “Linzer Geiger,” however, is not clear. There are certainly examples of such writing in Schubert’s dances, for example, D 734ns2 and 5 (below). That’s as much as I can say about it.

Nº 2.

The musical score for N° 2 is in 3/4 time, key of D major. It consists of two systems. The first system begins with a piano (p) dynamic. The melody in the right hand starts with a half note D4, followed by a quarter note E4, and then a series of eighth notes. A box labeled '(a)' highlights the first two measures. The bass line consists of quarter notes D2, C2, B1, and A1. A box labeled '(b)' highlights the next two measures. The second system begins with a piano (p) dynamic. The melody continues with eighth notes. A box labeled '(c)' highlights the first two measures of this system. The bass line consists of quarter notes D2, C2, B1, and A1. The piece ends with a double bar line.



Mozart, *Ländler*, K606, and *Deutsche Tänze*, K602

The “urban Ländler” is pushed back in time a decade with Mozart’s set of six dances in K606. Written in early 1791, while Mozart was employed as a composer of dance music for the imperial court, they were undoubtedly written for orchestra, but the only surviving version is for the typical Ländler trio (how Mozart was acquainted with the “Linzer Geiger” ensemble is unknown). Even apart from the shared key of Bb major, the similarities between Mozart’s and Schubert’s Ländler are striking.

The pairs of asterisks highlight the very common eight-note appoggiatura figures of the Ländler style in their frequent pairing over tonic then dominant harmony (or v.v.). Note that Mozart diligently avoids creating a ^{ladd6} *simultaneity* in bars 2, 6, 12, and 15. Other composers will not be so careful.

Nº 1.

Already in Mozart’s generation, but more definitely in Schubert’s, a distinction was made between the Ländler and the Deutsche or German dance. Granted, this distinction wasn’t as

firm as we might like—at least in the music; it was much clearer in the dances themselves—but the basic outline is that the Ländler was slower, the Deutsche faster, the Ländler lyrical, the Deutsche more emphatic and also more formal, the Ländler was a true couple dance where the Deutsche could be used not only for “waltzing” (that is, the constantly turning figures we now associate with the waltz) but also for promenades and other partner or group figures that a lead dancer might call.

The music of the Deutsche during this time could be entirely indistinguishable from the menuet, as witness the first strain of this dance by Mozart:



This is a Deutsche, K602n1, and apart from the I-I-V-I progression in bars 1-4 it bears almost no resemblance to any Ländler or Ländler-influenced waltz. Another way to put it is that the menuet of the late eighteenth and early nineteenth centuries often bears little or no resemblance to the rhythmically subtle, elegant menuet of the French court earlier in the century.

Beethoven, *Ländlerische Tänze*, WoO11

Beethoven published two sets of Ländler. The first, catalogued as WoO11, survives only in a piano version that appeared in 1799.⁶ The second, from 1802, has one edition for piano and another for the Ländler trio, two violins and bass. The two numbers reproduced here—ns 3 and 6 from WoO11—are characteristic of both sets. Beethoven holds throughout to the “violin key” of D major, which Litschauer and Deutsch say was the obligatory key of the early rural Ländler (41), but he makes almost nothing of figures involving $\wedge 6$. In n3, note the escape tone figure in bar 14. In n6, $\wedge 6$ as a neighbor note is necessarily part of the IV-I harmonic figure in the second strain.

⁶ The examples are from the first edition, published by Cappi in Vienna, 1799. Scan downloaded from IMSLP.

The image displays two musical pieces, No. III and No. VI, in 3/4 time, key of D major. No. III is a short piece with a repeat sign and first/second endings. No. VI is a longer piece with a repeat sign and first/second endings. The notation includes treble and bass staves with various musical symbols such as notes, rests, and repeat signs.

Appendix: (1) Hummel, *12 deutsche Tänze*, op. 44, coda: Ländlerisch

Between 1804 and 1811, Hummel composed several volumes of dance music, some specifically intended for the large public dance halls that sprang up in Vienna and its suburbs around that time. Published dance sets—including Beethoven's *Ländler* and *German Dances* (these latter from 1795)—sometimes had long codas, and although it is unclear how they were used, one presumes they must have been performed immediately once the dancing stopped.

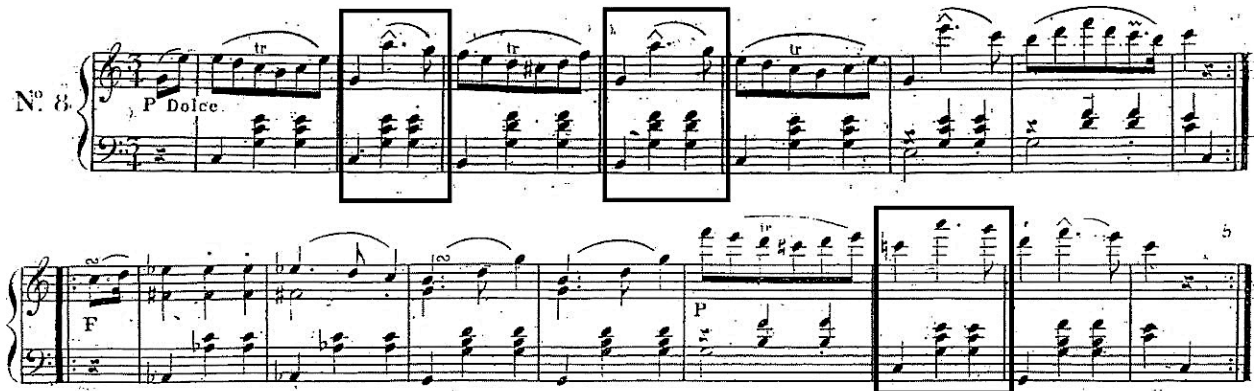
In Hummel's op. 44, which was published in 1811, the coda is a typical, rather fiery instrumental piece, but its drive toward conclusion is interrupted briefly by a *Ländler*, a self-standing small ternary design with repeats—see below. Beethoven may have been reticent about $\wedge 6$, but Hummel was definitely not: see the appoggiatura at (a), immediately repeated as a 6-5 embellishment over the dominant, at (b).



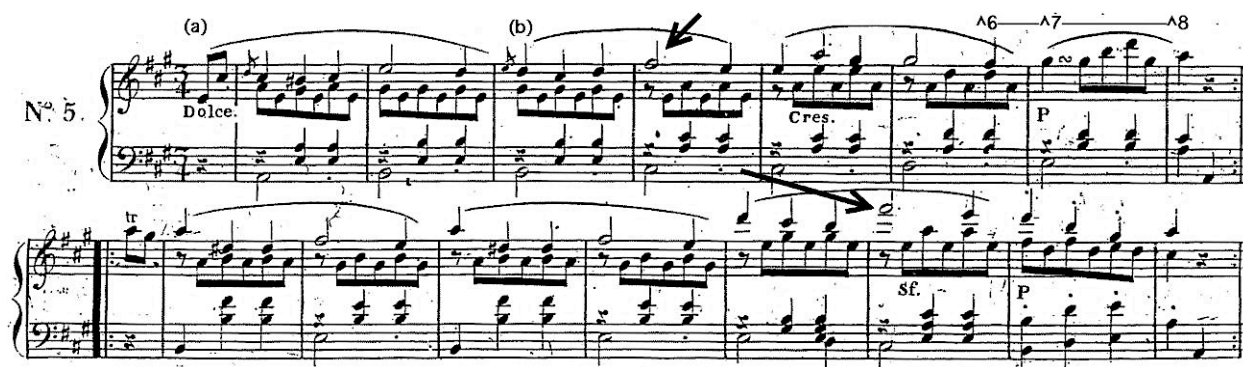
(2) Czerny, *Les Etrennes*: 24 Waltzes, op. 32

A composition from the 1820s by the Beethoven protégé and teacher of Liszt (among many other professional pianists), these two dozen waltzes show only a rare flourish that suggests skill that might be beyond the pianist playing for a house ball or for family entertainment. Stylistically, they are appropriate to the era, showing very clearly that Czerny was aware of current musical trends for dance music.

The eighth waltz provides a simple example of the alternating appoggiatura, with $\wedge 6$ first over I, then over V. Czerny pushes the figure up an octave for a nicely expressive moment just before the final cadence.



In the fifth waltz, we see a very similar presentation phrase in the form of a sequence—(a) then (b)—as a result of which \wedge_6 is an appoggiatura to \wedge_5 over tonic harmony (see the arrow in bar 4). As in n8, Czerny sends the appoggiatura up an octave in bar 14. Finally, the first strain of this waltz provides our first example in a dance piece of the non-classical \wedge_6 rising by step toward \wedge_8 (see bars 6-8).



(3) Theodor Lachner, *Sechs Ländler*

Early in his long and distinguished career as an organist and music teacher in Munich, Theodor Lachner published a set of Ländler for piano. A group of six, all in F major with largely diatonic figuration and harmony, these would have worked perfectly well for a half hour or so of social dancing. The fifth Ländler is typical of the set. Here, note the repeated play of $\wedge 6$ as appoggiatura to $\wedge 5$ over the dominant (mm. 3-4, 7) and the extension of an accented dissonance figure into the second strain.



Here also is a second example of the way in which an emphasis on $\wedge 6$ invites further movement up the scale. Unlike Czerny's direct use of a rising line for a cadence, Lachner makes the ascent the essential figure of the second strain.



Schubert

The examples from Hummel, Czerny, and Lachner are all contemporary with Schubert, as they were written (or at least published) in the 1810s or 1820s: Hummel's op. 44 in 1811, Czerny's op. 32 before 1826, and the Lachner dances in 1822. Of Schubert's roughly 500 dances, the earliest securely dated ones are from 1815 (though a few others might be as early as 1812), and the latest near the end of 1827, or about a year before his death in November 1828. The first to be published were the 36 Original Dances, op. 9 (D 365), the last were the 12 *Grazer Walzer*, op. 91 (D 969) in 1828.

In this section, I will take the inventory of treatments of $\wedge 6$ from the previous section and document Schubert's use of them. I have drawn mainly from the pieces or sets specifically labeled as Ländler (see the list below), but with the understanding that in more than one instance it was a publisher, not Schubert, who applied that label, and with another reminder of the fluidity and ambiguity of the terms Ländler, Deutsche, and waltz in Schubert's generation.

D	Title
145	Waltzes, Ländler, and Ecossaises
366	17 Ländler
378	8 Ländler
681	12 Ländler, nos. 1–4 lost
734	16 Ländler and 2 Ecossaises (Wiener-Damen Ländler)
790	12 Deutsche (Ländler)
970	6 Ländler, E, E, A, A, D, D
980b	2 Ländler, E
980c	2 Ländler, D, frag.

Classical $\wedge 6$: $\wedge 5$ - $\wedge 6$ - $\wedge 5$

D 145n1: Like the dances in Schubert's first published collection, those in D 145 were written (composed, or improvised then written down) between 1815 and 1821. The first strain of n1 shows the simplest of figures: $\wedge 6$ over IV acting as neighbor to $\wedge 5$. (I will comment on the second strain in a later section.)

PIANO = FORTE.

Ländler.

Nº 1.

Brahms visited Vienna for the first time in 1862. Before long he was living there, and he acquired the manuscripts for some of Schubert's Ländler.⁷ In 1864, he also edited the first publication of the 12 Ländler, D 790. A couple months later he reported writing his own waltzes, which were published in 1865 as op. 39. In 1869, he edited and published a set of 20 Ländler, which consisted of the 17 Ländler, D 366, followed by Brahms's solo transcriptions of Schubert's four-hand Ländler, D 814. (D366n17 and D814n1 are the same.) The second piece in the set—that is, D 366n2—uses an ornamenting $\wedge 6$ over V to close the first phrase:



In Schubert's Wiener-Damen Ländler, D 734, the second number is wholly diatonic and closely imitates a folk-style of playing, as I noted in the previous section. In keeping with that character, it is not surprising to find simple neighbor figures at (a) and (b).



⁷The story of Brahms's involvement with Schubert's dances is considerably more complicated than I am presenting it here. For all the details, see David Brodbeck's articles "Brahms's Edition of Twenty Schubert Ländler: An Essay in Criticism," *Brahms Studies: Papers Delivered at the International Brahms Conference*, The Library of Congress, Washington, D.C., 5-8 May 1983, ed. George S. Bozarth (London: Oxford University Press, 1990); "Dance Music as High Art: Schubert's Twelve Ländler, op. 171 (D. 790)," in Walter Frisch, ed. *Schubert: Critical and Analytical Studies* (Lincoln and London: University of Nebraska Press, 1986).

Classical ^6 over a ii chord, in the stereotypical S-D-T cadence

The Ländler harmony was a tonic or dominant drone or some arrangement of I and V (in the major key, of course—minor key Ländler are unknown). Thus, when ^6 appears with a subdominant harmony, either ii or IV, the figuration might be that of the Ländler but the harmony suggests the Deutscher. The *Valses sentimentales*, D 799, might have acquired that title (from the publisher, not Schubert) because the majority of its numbers can be understood as the more lyrical Ländler rather than the more formal and assertive Deutscher. The ninth number shows the ambiguity—entirely diatonic like D 734n2, it uses a wider range of chords and positions than a simple I and V.



Classical ^6: as appoggiatura within I

D 145n15 offers two versions of a simple appoggiatura within the tonic, both of them highlighted through substantial leaps and positioned over a phrase-ending chord.



In first of the Ländler, D 366, the stretching of register (in the violinistic manner of the Ländler) is a prominent surface motif throughout. The largest leap is in m. 6, a ninth up to reach ^6 (as F#6).



Classical $\wedge 6$: as appoggiatura within V

I am using appoggiatura loosely here to designate both the classic appoggiatura—leap to an accented dissonance—and also a leap to an unaccented dissonance. In the second strain of D 145n9, a consonant $\wedge 6$ over the subdominant becomes a dissonant 9th over V7 two bars later. In the cadence the high $\wedge 6$ over V7 is an incomplete neighbor that achieves the “accidental” dominant ninth as $\wedge 5$ is not heard over V7 or the final I.



In D 145n4, the expressive leap to an accented $\wedge 6$, as 9 in V9, is the central motive and engenders a string of similar accented and unaccented leaps (m. 2 first beat, m. 2 third beat, m. 3 first beat, etc.). We hear it three times: in mm. 1, 5, and 13.



In the Ländler set edited by Brahms, the right hand part of D 366n7 might just as easily have been published forty years earlier as one of Pamer's solo violin Ländler. If anything, its offbeat appoggiatura over V7 evokes the Ländler sound more charmingly than does the accented version.

Musical score for No. 7, a Ländler in 3/4 time. The right hand features a melodic line with offbeat appoggiaturas and a boxed eighth-note figure. The left hand provides a harmonic accompaniment with chords and a steady eighth-note bass line. The score is divided into three systems.

A similar use within continuous eighth note figuration can be seen in D 779n5:

Musical score for No. 5, a Ländler in 3/4 time. The right hand has a continuous eighth-note figure with circled appoggiaturas. The left hand has a steady eighth-note bass line. The score is divided into two systems.

In D 734n2, mentioned earlier because of its neighbor note figures in the first strain, the second strain makes expressive use of a leap to $\wedge 6$ over V7—at (c) and again in m. 14.

Musical score for No. 2, a Ländler in 3/4 time. The right hand features a continuous eighth-note figure. The left hand has a steady eighth-note bass line. The score is divided into two systems, with specific points (a), (b), and (c) marked.

Finally, the ninth leap itself: see bar 5 in *Valses sentimentales*, D 799, n16. This one, too, inspires others, but the only return to scale degree ^6 comes as a neighbor note over I6/4 (see bar 14).

Nº 16.

Classical ^6, neighbor note or appoggiatura, alternating between I and V

The pairing of figures over tonic then dominant (or v.v.) is a very common way to form a presentation phrase in the Ländler repertoire. Four of the five examples below do that. In D 145n3, ^6 is embedded in a simple ^5-^6-^5 neighbor figure. In D 145n13, it is an appoggiatura. And it is something of both in D 734n13.

Nº 3.

Nº 13.



The fourth number of *Valses sentimentales*, D 799, opens the second strain with $V7-I$ and $\wedge 6-\wedge 5$ above.



Finally, the exception: in D 734n8, the figures are at the one-bar level: see (a) then (b).



The combination of tonic/dominant harmonic patterns and a strong tendency toward melodic repetition make figures similar to those described in this section very easy to find in the Ländler repertoire, indeed in the waltz repertoire (Ländler, Deutsche, and Walzer) in general from the early part of the nineteenth century. These figures can be developed in many ways; pairings with $\wedge 6$ are by no means necessary—and, to be honest, they are no more likely than certain others. To make the point, here is a sampling of four presentation phrases from other dances in *Valses sentimentales*, D 799:



18. *p (legato)*

20. *p*

30. *p*

Classical $\wedge 6$: as escape tone

The first number in D 366 opens with C \sharp 5 and a leap to F \sharp 6 followed by a scale figure down (see the classic appoggiatura within I above). One of the later numbers of D 145 reverses this figure and makes $\wedge 6$ into a prominent escape tone (bar 1).

N \circ 14. *p*

N \circ 15. *f*

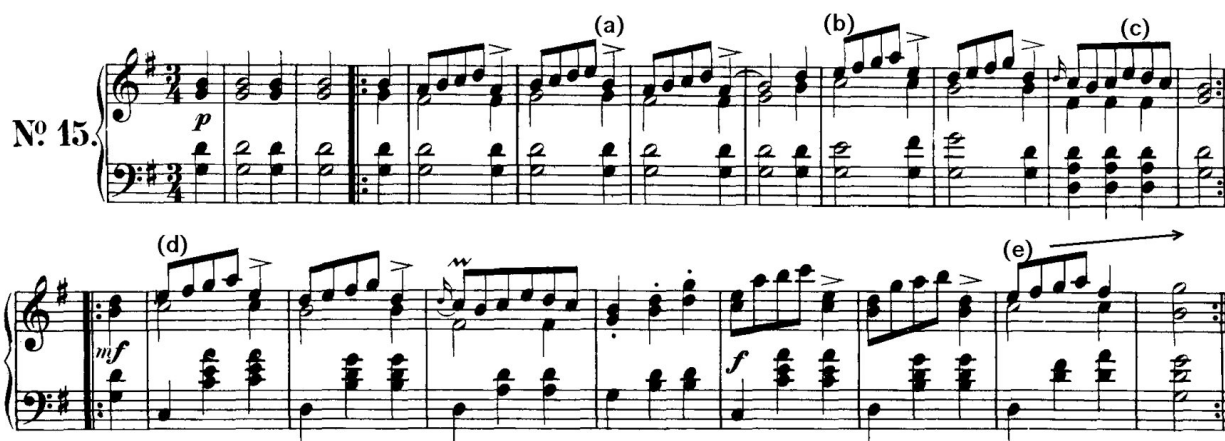
The second number of D 366 does the same (and gives attention to $\wedge 6$ as neighbor note in bars 3-4, as well as realizing a rising trajectory toward the cadence):



The simple escape tone in the pickup beat opening *Valses sentimentales*, D 799n2 is confirmed in that status later by the parallel spot in the second phrase, where C6 is definitely a non-chord escape tone to B5.



In D 734n15, over a tonic drone, $\wedge 6$ plays the role of three different notes, as it were: at (a) an escape tone, at (b) a neighbor note, and at (c) an appoggiatura (unaccented upper neighbor here).



Pastoral $\wedge 6$

In connection with the Ländler, Day-O'Connell's pastoral $\wedge 6$ is hard to define—it would seem to cover the entire repertoire by default. In other words, pastoral $\wedge 6$ should apply to pretty much every use of that scale degree. Here, however, I will restrict the term to those pieces that also exhibit traits of the traditional (eighteenth century) pastoral, including drones, some attention to IV, and diatonic textures with emphasis on the major scale hexachord or even the pentatonic.

The two below should be familiar by now. In addition to the violinistic “Linzer Geiger” figures in D 734n5, the melody belongs entirely to the D major scale hexachord (the leading tone occurs only in an inner voice). At (a) is a clear subdominant chord with an expressive $\wedge 6$; in the second strain V9 is prominent, at (b) and again four bars later, and at (c) is the effect of a reiterated suspension. In n15 from the same set, the drone is prominent, and three slightly different treatments of $\wedge 6$ occur at (a), (b), and (c).

The image displays two musical excerpts. The first, labeled 'N° 5', is in D major (two sharps) and 3/4 time, marked *pp*. It features a characteristic 'Linzer Geiger' figure in the right hand, consisting of eighth-note patterns. Specific points are marked: (a) at the start of the second strain, (b) four bars later, and (c) at a reiterated suspension. The second excerpt, labeled 'N° 15', is also in D major and 3/4 time, marked *p*. It features a prominent drone in the left hand. Points (a), (b), and (c) are marked on the right hand melody, showing different treatments of the $\wedge 6$ scale degree.

Non-classical $\wedge 6$ (does not occur)

This is the closest Schubert ever comes: the opening of D 814n4 (from Brahms's edition of 20 Ländler). The pentatonic outline—if understood as deliberate, that is—is undermined by the subsequent transpositions, none of which is pentatonic.

Nº 20.

"Extended $\wedge 6$ ": as 9 in V9

Here are eleven examples of the V9 chord in Schubert's dances. To start, one with a direct (immediate) resolution of the ninth into the fifth of the tonic chord.

From D 779n20, second strain:

Next, six dances where $\wedge 6$ is held over or repeated as an accented dissonance over the tonic chord immediately following a clear $\wedge 6$ as the ninth in V9.

From D 814, Brahms's 2-hand transcriptions of the 4-hd originals: n1 (17th in his edition of 20 Ländler). At (a) and again at (c).

Nº 17.

D 799, n2: see bars 5-6.

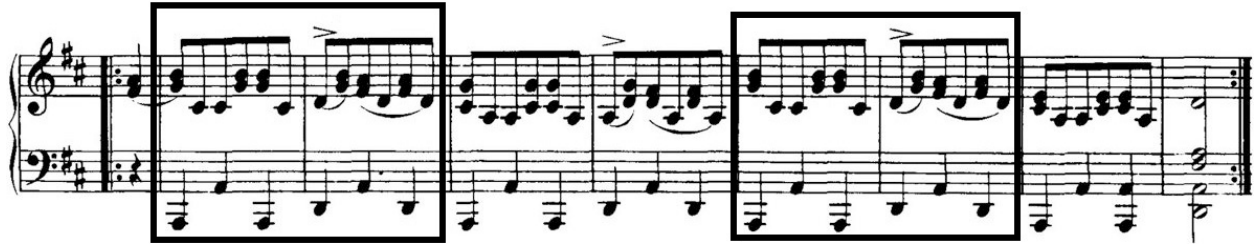
D 145n5: ssee the boxed bars 5-6.

Nº 5.

D 145n11: a more emphatic $\wedge 6$ over the tonic in bar 4.

Nº 11.

D 734n5: here the thirds produce an ornamenting IV $6/4$ on the first beat of bar 2 (and 6).



D 799, n17: whether a sustaining pedal was used in the era or not, beat 2 in bar 2 produces the distinct sound of a I^{add6} chord.



Note that, with the exception of D814n1, the V_9 chord is unmistakable, by which I mean not reducible to V_7 with an embellishing dissonance.

Finally, four numbers where the underlying voice leading plainly requires V_9 but arpeggiation or embellishment intervenes (*just barely* in each case).

D 145n1



D 145n9: here it is a chromatic lower neighbor, reinforced with a lower third.



D 769n1: here it is so close that the resolution may as well be direct.



D 779, n18, second strain: the leap away removes literal statement of the resolution Eb5.



Non-classical "rising $\wedge 6$ "

Earlier, I drew attention to the expressive leap to an accented $\wedge 6$, as 9 in V9, in D 145n4. The string of similar accented and unaccented leaps that follow encourage a rising gesture in the cadence to the first strain. Cadences with rising gestures of one kind or another are surprisingly common in the Ländler repertoire. Note that Schubert creates a mirroring pattern in the cadence of the second strain, where a precipitous descent brings the melody down from the accented $\wedge 6$ (as Bb6) to close on Db5.

Here are a thirteen more. First, D 145n11: as in D145n4, the high point of the rise is ^6, as Bb6.

D 145n9: Bb6—the highest Bb on the pianoforte—opens, and then is touched again in the cadence.

The unusual key of Db major, by the way, is easily explained as a “darkening” or expressive shading of the archetypal Ländler key of D major. In D 145, ns 4-12 are all in Db major. The large number of pieces in Ab major in D 365 and D 779 are accounted for in the same way: Ab as a shading of A major. (A few pieces from D779 were originally written for violin in A major.)

D 779, n18, second strain: Schubert follows through the initial leap from ^3 tp ^6 (as 9 in V9) with successive leaps that ultimately reach C7!



The penultimate waltz in D 779 uses the mirroring shapes in the two strains, although the range covered is not so extreme as we saw in D 145n4.



D 366n2: again the range covered is considerable, E₅/F_{#5} to B₆.



D 769n1, ending:



In the Ländler set edited by Brahms, D 366n7: as in D 145n9, the high register opening the piece returns in a mirroring close to the second strain (see the figure below the score for a clearer image of the ascent).

Nº 7.

D 734n15:

Nº 15.

In the sixth number from the Ländler, D366, the voice leading moves in 4- and 5-part block chords, and the static quality that results is reinforced by the "failure" to reach $\wedge 8$ in the cadence of the first strain, but in the reprise the C_5 is reached and a reinterpretation of the status of $\wedge 7$ (B_4) is in order.

Valses sentimentales, D 799, n34, the final piece in the set:

D 814n1: a small-scale ascent growing out of a $\wedge 5$ - $\wedge 6$ neighbor figure in the first strain is

magnified in the second strain.

N°17.

mf p sf

cresc. p f

D 814n4, Brahms's 2-hand transcription of the 4-hd original

N°20.

con sordini pp

f

cresc. cresc.

The ninth leap itself can be a dramatic generating event: see bar 5 in *Valses sentimentales*, D

799, n16. This one, inspires others, but the only return to scale degree $\wedge 6$ comes as a neighbor note over I6/4 (see bar 14). This time Schubert takes the expressive leap to the highest note on the pianoforte, F7 (in bar 15).

The image displays two staves of musical notation, likely from a piano sonata by Franz Schubert (Op. 799, n16). The top staff begins with measure 16, marked with a forte (ff) dynamic. It features a series of chords in the right hand and a more active line in the left hand. The bottom staff continues the piece, starting with a very forte (ff) dynamic. A red arrow is drawn across the bottom staff, indicating a melodic line that spans several measures. A red box highlights a specific chord in measure 20 of the bottom staff, which is identified in the text as the only return to scale degree $\wedge 6$ as a neighbor note over I6/4. The notation includes various dynamic markings (ff, sf, p) and articulation marks.

Schubert contemporaries: Josef Lanner and Johann Strauss, sr.

Compared with Schubert, both Lanner and the elder Johann Strauss were quite conservative in their treatment of $\wedge 6$, even when they were writing in Ländler style. The examples discussed here, then, are largely exceptions to the rule in their waltz sets.

Lanner's "28er" Ländler, op. 20, comes from 1828 as the title suggests, between the time that the elder Strauss, who had been conducting Lanner's second ensemble, left to form his own group and when Lanner was appointed as music director of the Imperial Redoutensäle. Almost certainly written, and possibly published, before Schubert's death in November of that year, the "28er" Ländler set opens with a very atypical chromatic passage, but, as we have seen many times already with Schubert, $\wedge 6$ is reached as the highpoint of the melody line (arrow in bar 4). The registrally split opening figures trace a clear pattern of rising sixths and a retreat into the cadence—see the analysis below the score. Note the ascending line in the lower voice.

№ 1.

The musical score is presented in four systems. The first system shows the beginning of the piece in 3/4 time, key of B-flat major. The melody starts with a piano (p) dynamic. An arrow points to the fourth measure of the first system, indicating the highpoint of the melody line. The second system shows a first and second ending. The third system shows a continuation of the melody with a trill (tr) in the final measure. The fourth system shows a final measure with a trill (tr) and a simplified harmonic analysis of the final measure, showing a 6-6-6 pattern.

The second strain, like many in Schubert, contrasts with the first through play on the violinistic Ländler eighth-note figures.

The musical score for the second strain is in B-flat major (two flats). The first system shows a treble and bass staff. The treble staff has a forte (*f*) dynamic and a trill (*tr*) in the final measure. The second system continues the melody with eighth-note figures, marked with arrows, and includes first and second endings.

Lanner's Altenburger-Ländler, op. 40, are from a year or two later. The second strain of the second dance unexpectedly offers the full panoply of treatments of $\wedge 6$: as chord tone in the first and fifth bars, third-supported appoggiatura in the second and sixth bars, neighbor note within a V7 in bars three and seven, and the push upward to the cadence (bars 6-8).

The musical score for the second strain is in A major (one sharp). The first system shows a treble and bass staff with a forte (*f*) dynamic. The second system continues the melody with eighth-note figures, marked with arrows, and includes a circled chord in the first bar.

In the third dance of op. 40, $\wedge 6$ prominently colors I in bars 1, 7, and 8; V in bars 5 and 6.

The musical score for the third strain is in A major (one sharp). The first system shows a treble and bass staff with a piano (*p*) dynamic. The second system continues the melody with eighth-note figures, marked with arrows, and includes a circled chord in the first bar.

The second strain of the same dance brings the sound of V9 equally far forward.



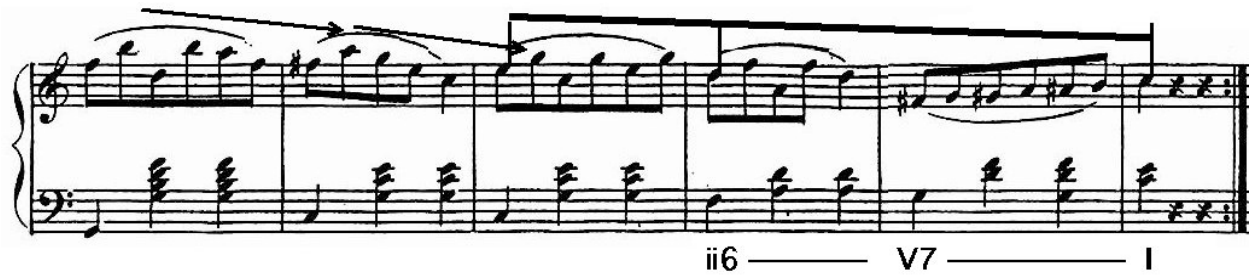
The elder Johann Strauss was no stranger to rising cadence figures—they appear in some of his first published dances—but those lines were almost always achieved by full functional cadences (involving S types ii or IV, in other words) rather than instigated by independent melodic emphasis on ^6. From 1847, the *Feldbleamel'n* (presumably Viennese dialect for *Feldblümlein*, or meadow flowers) gives an appropriately pastoral ^6 in its introduction (as 6 over the prolonged dominant)—see the score below the title page. This is a pastoral topic that emphasizes nostalgia—note in the subtitle that Strauss felt obliged to remind his audience that these pieces were in Ländler style, as if evoking a past.





The first two dances in Strauss's op. 213 employ a variety of familiar Ländler figures involving $\wedge 6$. The opening of n1 introduces what should be a simple passing tone, but that note is then caught up in the dominant embellishment of bar 2, rather than resolved. It's reasonable to say that bar 3 is a proper $\vee 9$, as the resolution is stalled until $\wedge 6$ is repeated over I in bar 4. The broken interval with $\wedge 6$ in bar 8 assumes a diminished seventh chord cadence embellishment that is by no means common in Ländler, but fits well here as an expressive cap on the chromatic scale in the bar before. In the consequent of this 16-bar theme, a steady move down—not up as we've seen repeatedly in Schubert—begins from $\wedge 7$ and $\wedge 6$ over the dominant.

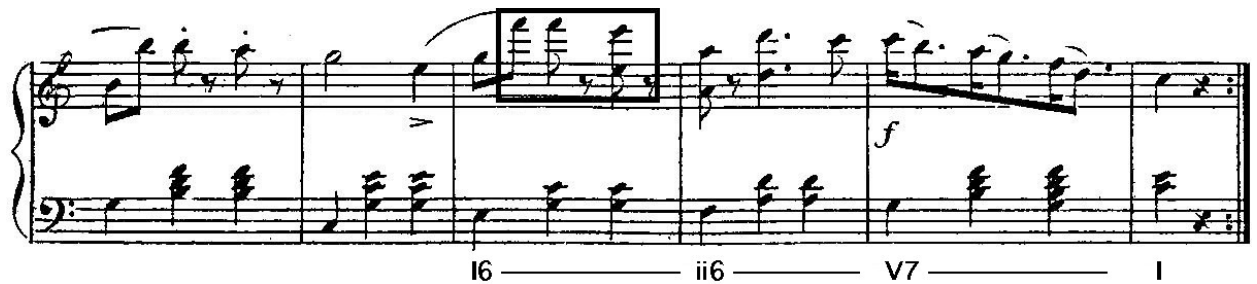




The second dance in op. 213 makes even more of $\wedge 6$, and this time provides a direct resolution of V9 in bars 3-4.



In the consequent, the model of the rise to an accented dissonance is observed, but $\wedge 6$ has no part in it: the leap is to $\wedge 4$ (F6) in the measure that initiates an ECP (expanded cadential progression; the term is William Caplin's), a particularly firm functional figure.



Part II: After 1850

Ländler-nostalgia: Brahms

As I noted earlier, Brahms edited and published the 6 Ländler, D 970 in late 1864. Within a month or two, he reported writing his own waltzes, which not surprisingly evoke the sound and spirit of Schubert's many waltzes, Deutsche, and Ländler. Despite this, the Ländler $\wedge 6$ and the "waltz ninth" do not play an especially prominent role in Brahms's waltzes. Thicker textures and octave doublings increase the fullness of the sound—and in slow tempi, the nostalgic or sentimental qualities as well. The second waltz is one of those, and it does include a modest leap from the ninth of V₉—see (a) below. This might be caught in the sound briefly through the sustaining pedal. A more emphatic V₉—see (b)—is undercut by change of pedal, but these markings are not found in the manuscript: see the first facsimile on the next page. But Brahms did expect the pedal to be used: he marks it once at the beginning: see the second facsimile. So who knows? Inserting a S-D pair within a longer D passage is certainly common enough, but the accented bass and properly placed high ninth tempts one to hear V₉ relaxing into V₇ on the third beat.

(a)

2

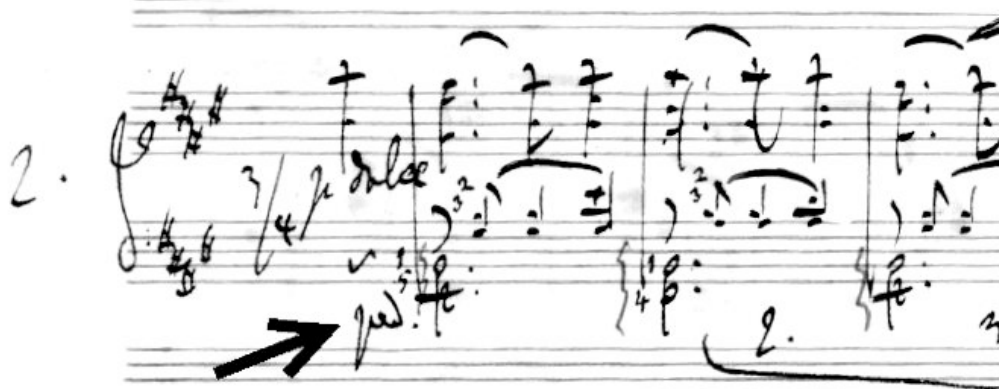
p dolce

Boxed area highlights a passage in the right hand, measures 4-5, showing a leap from the ninth of V₉ (F#5) to the fourth (D4).

(b)

Boxed area highlights a passage in the right hand, measures 4-5, showing a leap from the ninth of V₉ (F#5) to the fourth (D4).

Below the score, there are markings: "Ped." and asterisks (*) indicating pedal changes and specific notes.



Op. 39n5 is very similar. A variety of complex sounds arise from exploiting stylistically appropriate accented dissonances: stepwise melody with reiterated suspension dissonances below are the basic motive: at (a). The figure of V9 becoming V7 is prominent at the end: at (b).

(a) *Grazioso*

5

(b)

The sound of V_9 is unavoidable in op. 39n10: it's beginning point, low point, and high point in the first phrase: see the two boxes in (a) below. Nevertheless, the underlying chord is V_7 , as the ninth resolves within the fourth bar. The ending involves $\wedge 6$ in the rise to $\wedge 8$ (arrow in (b)) but a striking retrogression to IV (rather than an expected vi) erases the effect.

(a)

(b)

As I also noted earlier, Brahms edited a set of 20 Ländler that consists of the 17 Ländler of D 366 plus Brahms's two-hand transcriptions of the four piano-duet Ländler in D 814. (D 366n17 is the same as D 814n1.) These were published in 1869. In the same year, he also published the first of two sets of compositions in the contemporary fashion of choral waltzes: the *Liebeslieder-Walzer*, op. 52. The second set, op. 65, appeared in 1875. In 1874, Brahms also arranged both sets for piano four-hands (without voices).

The third number in op. 52 makes much more out of $\wedge 6$ than any of the waltzes in op. 39. The neighbor note within I—at (a)—is followed quickly by a direct resolution of V_9 —at (b). Day-O'Connell's non-classic $\wedge 6$ appears at (c), and all of this inspires a rise to $\wedge 8$ in an upper octave. In the second strain, this cadence figure is repeated with modified harmonies and followed with a simple diatonic version in a lower octave—see the box.

Op. 52n3, opening:

Op. 52n3, second strain, ending:

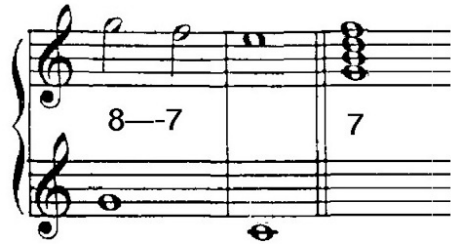
Op. 52n13: the $\wedge 5$ - $\wedge 6$ - $\wedge 5$ figure in the opening bars (at *) is pushed a little farther to generate V_7 , then a V_9 that resolves directly (first box). Another direct resolution in the dominant key ends the strain (second box). In other words, the sound of $\wedge 6$ and of V_9 is the entire content outside of the tonic triad itself.

In the second strain, the first ending repeats the direct resolution in the first ending, but in the second ending the ninth resolves within the dominant.

The image displays a musical score for piano, consisting of two strains. The first strain is a single system of two staves (treble and bass clef). The second strain is divided into two systems. The first system of the second strain includes a first ending (marked '1.') and a second ending (marked '2.'). The first ending of the second strain repeats the direct resolution from the first strain. The second ending of the second strain shows the ninth resolving within the dominant. The score is written in a key signature of three flats (B-flat, E-flat, A-flat) and a common time signature (C). The notation includes various musical symbols such as notes, rests, and dynamic markings (p, f).

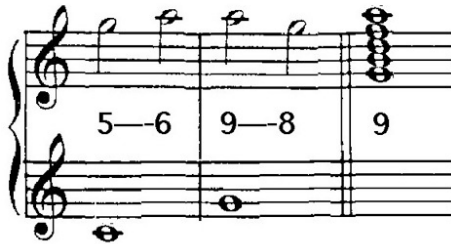
The inventory of added and extended chords

It is generally agreed that the dominant seventh sonority came about in the first decade of the seventeenth century through the expressive (or dramatic) “freezing” of a passing tone—see the first example below.

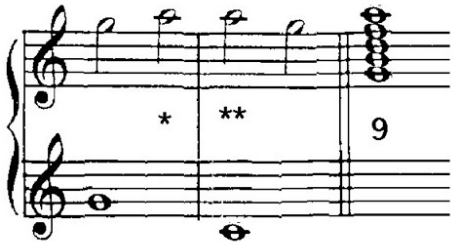


Certainly, remarkable dissonances occur in the madrigals and stylistically related works of Monteverdi, among them independent dominant-seventh type sonorities.

The origin of two of the most common chromatic expressive chords—what were later called the Neapolitan and the augmented sixth chords—was similar, and occurred in Roman opera no later than the 1630s, the Neapolitan by “freezing” a descending chromatic passing tone, the augmented sixth by doing the same to an ascending chromatic passing tone.



The dominant ninth also arose through “freezing” a dissonance, in this case a suspension or appoggiatura—see the simplified counterpoint in the second example at the left. Some of the earliest instances are in the waltz repertoire in Schubert’s generation. The same figure with reversed harmonies—see the third example—generates a dominant ninth moving to a tonic with added 6.



The triple meter of the waltz encouraged the prolonging of a suspension or appoggiatura dissonance, as in D 145n11 below; this tendency only increased as tempos sped up in the 1830s, so that appoggiaturas might be held over several *measures*, not beats.



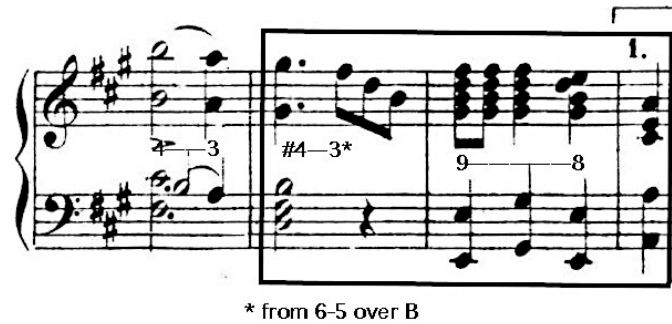
In Schubert's generation, except for the occasional dominant ninth (as likely to be accidental as intended, in my opinion), the treatment of suspensions/appoggiaturas was largely traditional. Note the 6-5s in D 145n11 above: these create incidental dissonances against the accompaniment on the second beat. Also see the 4-3s in Lanner's op. 20, waltz n1 in (a) below: here the dissonance resolves immediately in a manner that would have been quite acceptable in the 1770s—or even earlier. Schubert's double voicing in the right hand at the outset of D 734n13, at (b) below, goes even further, getting the dissonance out the way after just an eighth note.

(a)

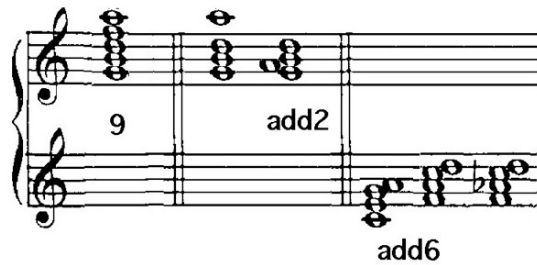
(b)

Despite the change of generation and the sped-up tempi, Johann Strauss, jr. could be surprisingly careful about dissonance, as the opening of the second strain in the first waltz of the *Blue Danube* set shows.

In the manner of the harmonic acceleration of the later eighteenth century, Strauss also piles on the accented dissonances in the approach to the cadence.



The dominant ninth chord contains dissonances, yes, but no minor seconds or major sevenths. No other diatonic ninth chord in the major key can match that. The historical origin of the dominant ninth chord is certainly from the suspensions/appoggiaturas as described above, but the lack of harsh dissonances does connect it to another class of chords that arose before mid-century. Thanks especially to the sustaining pedal of the piano, triad arpeggiations that included a second became a common sound in pastorales and nocturnes.



As the second part of the first example at the left shows, a dominant ninth without 7 has the same pitch-class content as a triad with add2. Chords arising by the same means but that did in fact become recognized as independent sonorities are the three add6 chords (again, see at left).



Each of the three entries in the category of extended tertian chords came about in a different way. For the dominant ninth, it was the suspension/appoggiatura, as we've seen. For the dominant 13th chord, it was the escape tone—see the example at the left. For the dominant 11th, it was a substitution of $\wedge 8$ for $\wedge 7$ —see the last example at the left.



In all three cases, however, an expressive higher note displaced a lower one: 9 rather than 8 over V, 13 rather than 12, 11 rather than 10. In all cases, it was the dominant that led the way, a nod to Rameau's characterization of the dominant as the essential dissonance (where the tonic was goal or stable point of rest and the subdominant could undermine tonality).

The next generation: Johann Strauss, jr. and his siblings

As Brahms was re-discovering the Ländler of the 1820s, his contemporary and friend Johann Strauss, jr. was reaching the height of his professional and compositional powers. Beginning with *Morgenblätter*, op. 279, in 1863, many of his best known waltzes come from the subsequent decade, culminating with several in his operetta *Die Fledermaus* (1874). The roster includes:

- An der schönen blauen Donau*, op. 314 (1866)
- Künstlerleben*, op. 316 (1867) [Artists' Life]
- G'schichten aus dem Wienerwald*, op. 325 (1868) [Tales from the Vienna Woods]
- Wein, Weib und Gesang*, op. 333 (1869)
- Freuet Euch des Lebens*, op. 340 (1870)
- Tausend und eine Nacht*, op. 346 (1871)
- Wiener Blut*, op. 354 (1873)
- Du und du* from *Die Fledermaus*, op. 367 (1874)

I will discuss the treatment of $\wedge 6$ and V_9 in the first three of these.

The first waltz of *The Blue Danube* set would seem to settle the question of V_9 and I^{add6} for good (see the two arrows), but although it is true of the former—the ninth, prolonged through four bars, does persist to the resolution—it is not quite true of the latter, as it resolves downward at literally the last second (see bar 16). More traditional accented dissonances adorn the approach to the cadence in bars 26 and 31. Note also the $F\#-E$ over $ii6/5$ in bar 30, which adds to the effect. Overall, however, the entire 16-bar continuation of this 32-bar theme is an ECP (expanded cadential progression) with a repetition at the end; beginning at bar 17: $I6 - ii6/5 - V_9^* - I - ii6/5 - V_7 - I$.

Walzer.

1. *p*

8 *p*

13

16 21 25 30

In the second strain, despite an array of accented dissonances, $\wedge 6$ appears only in a simple neighbor figure before making an appearance in the firmly functional SDT cadence.

p *f*

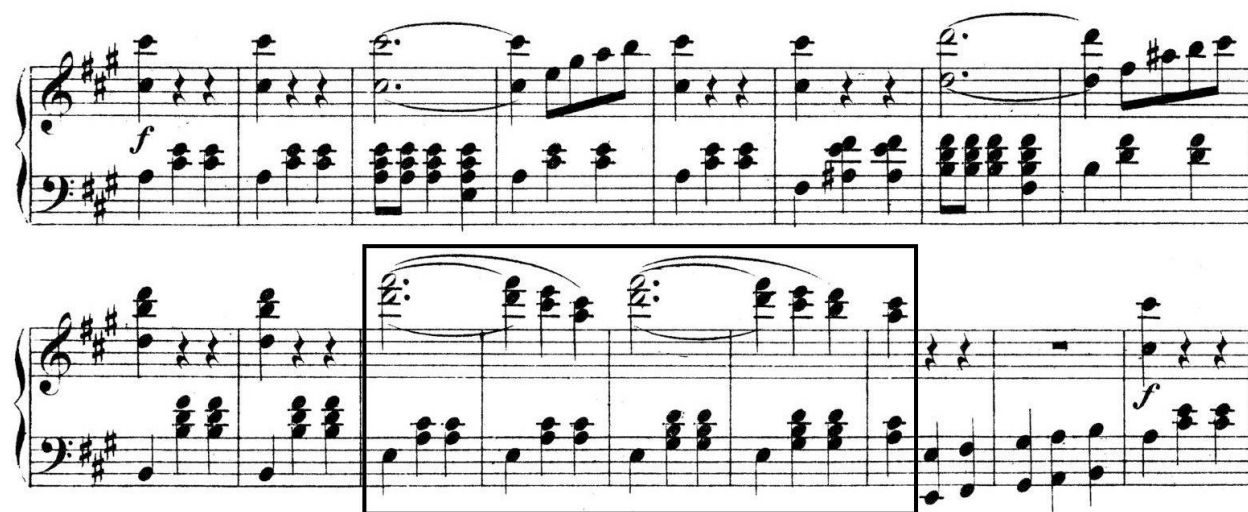
In the second strain of the fourth waltz in *The Blue Danube* set, $\wedge 6$ as one of those “throw-away” leaps common in the later waltz repertoire (and which have their source in the appoggiatura from the early waltz and Ländler) creates a V_9 where the ninth can be heard to resolve into $\wedge 5$ over the tonic—see the circled notes. The final cadence (boxed) is almost the

same as the one in the second strain of waltz n1.

Yet another involvement of $\wedge 6$ in the expressive highpoint and cadence can be found in the first strain of waltz n5, here within a V7 overall:

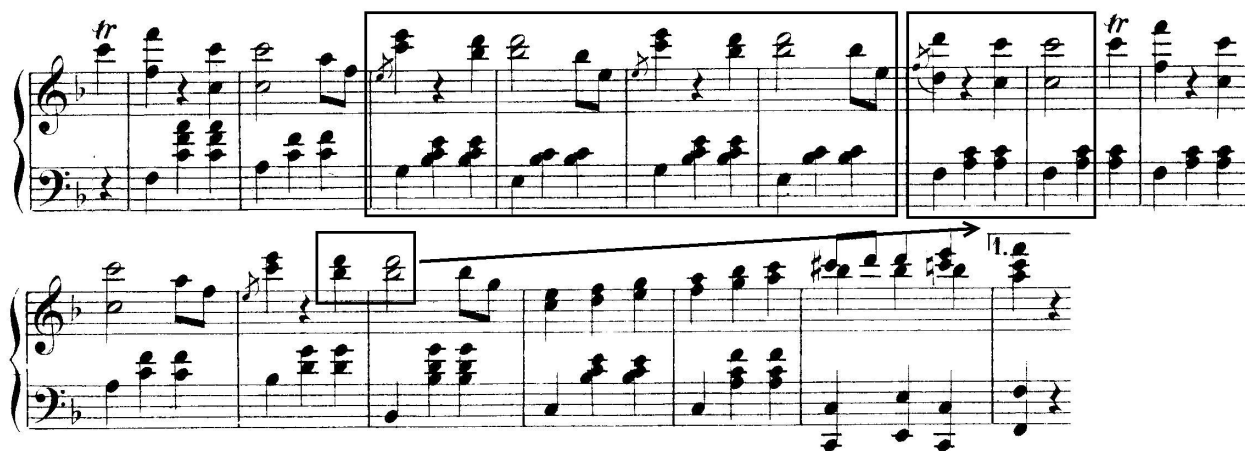
The second strain of the same waltz brings something extraordinary, however, as the expected V9 at the expressive highpoint is delayed by a cadential dominant. But this I6/4 chord has the “usual” $\wedge 4$ - $\wedge 6$ above it, the result being four quarter beats of a particularly harsh dissonance—

see the boxed measures. The notes are A-C \sharp -D-E-F \sharp . This is not, btw, an artifact of the piano transcription—it's there in the orchestral version, too.



From a year later, *Künstlerleben* [Artist's Life] has a number of features that are similar to those in *The Blue Danube*. One of the clearest tonic with add6 chords in the Strauss repertoire is in bars 4-5 of waltz 2 (below), and it appears again as the melody line comes back down (bars 12-13). This latter version, with the tonic chord in 6/4 position and acting as a cadential dominant, is more common in Strauss waltzes than the root position version that became the standard in most uses well into the twentieth century.

In the third waltz, the same scalar descending figure has different consequences: a V \flat (first box) that resolves directly, a transient I add6 that follows, and an ECP (expanded cadential progression) whose $\wedge 6$ over ii6 participates in the motivation to a very emphatic rising cadence gesture.



The last waltz in the set also makes much of the potential of $\wedge 6$ for expression and coloration of harmony, starting in the first bar (arrow). Piling things on, Strauss directly resolves V_9 (second arrow and bar 6) but with an intervening upper neighbor E^{\flat} ! The tonic as I^{add6} is particularly expressive with its repeated leaps to $\wedge 6$ (double arrow and bars 6-8). The version of with the tonic chord in $6/4$ position appears in bars 12-13.



After all the above, the second strain is remarkably simple, involving a pair of rising cadences, the second of which even devolves to $\wedge 6$ over a simple subdominant.



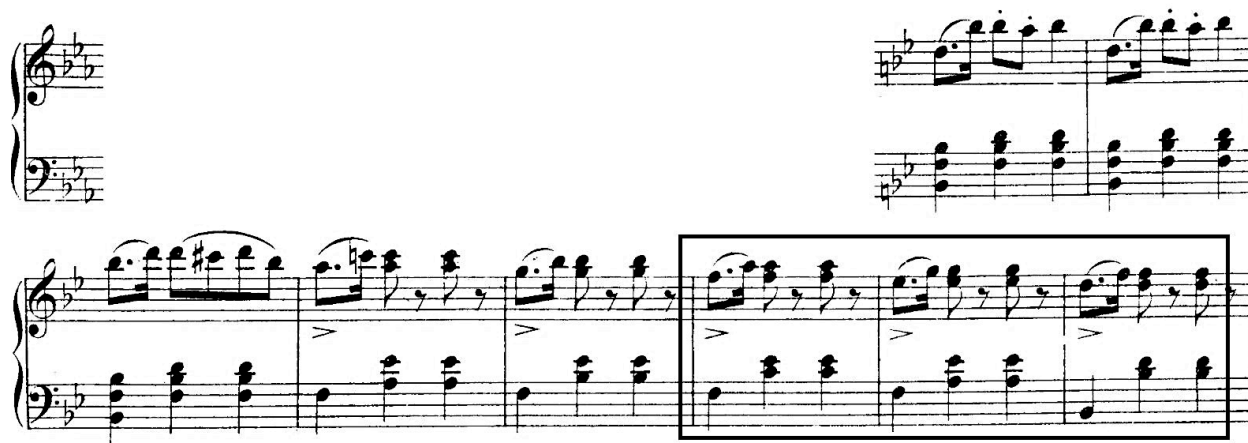
We are now two years after *The Blue Danube*, when *Tales from the Vienna Woods*, in its second waltz, positions $\wedge 6$ firmly over versions of ii (see bars 2-3, 10-11). That ii is within SDT progressions, the second of which is quite extended (7 bars), but Strauss manages to sneak in a ninth as additional embellishment of the dominant (arrow).

The musical score for the second waltz of *Tales from the Vienna Woods* is shown in 3/4 time, key of B-flat major. The score consists of three systems. The first system shows the beginning of the waltz with a piano (*p*) dynamic. The second system shows a more complex progression with a mezzo-forte (*mf*) dynamic. The third system shows a cadence with a piano (*p*) dynamic. An arrow points to a specific melodic line in the third system, which is identified as a ninth. The chords are labeled as V (cad.dom.), V9, V7, and I. The scale degree $\wedge 6$ is indicated by a line with a dot above it, and the ii6 is indicated by a line with a dot above it.

The third waltz, similarly, has a strongly articulated SDT cadence in which V9 appears in an ornamental (but expressive) fashion. A sharp dissonance—on the order of the second strain of the fifth waltz in *The Blue Danube*—occurs at (a), but the scalar descent thereafter finally relaxes into a simple subdominant neighbor, at (b).

The musical score for the third waltz of *Tales from the Vienna Woods* is shown in 3/4 time, key of B-flat major. The score consists of three systems. The first system shows the beginning of the waltz with a piano (*p*) dynamic. The second system shows a more complex progression with a forte (*f*) dynamic. The third system shows a cadence with a piano (*pp*) dynamic. A sharp dissonance is indicated at (a), and a scalar descent is indicated at (b). The chords are labeled as V9, V7, and I. The scale degree $\wedge 6$ is indicated by a line with a dot above it, and the ii6 is indicated by a line with a dot above it.

Second strain, first phrase: a relatively rare direct resolution of V_9 to I —see the box.



The opening of n_4 could have been written by Josef Lanner, so simple is it in its figuration and in its treatment of $\wedge 6$ as appoggiatura over V_7 (bar 5) then again over I (bar 7).



Second strain: strong emphasis on $\wedge 6$ in V_9 (see bars 4-7) ends with a direct resolution, but that is in the form of a charming reiterated suspension-type that briefly forms I^{add6} .



Josef Strauss, *Mein Lebenslauf ist Lieb' und Lust*, op. 263, published in 1869. Josef was a younger brother of Johann, jr. A neighbor in bar 4 presages a direct resolution of V₉—see the asterisks. The cadence is yet another SDT progression that includes a cadential dominant, but in this case without any special role for $\wedge 6$.

The third waltz in the set opens with a strain that is little else but $\wedge 6$, mostly in V₉. At (b) and (c) is the now familiar repetition of a melodic figure over V then I. Not surprisingly, all this attention to $\wedge 6$ leads to a determined move upward, but that's cut short by a cadence to V rather than I.

Eduard Strauss, *Das Leben ist doch schön*, op. 150, published in 1877. Another, still younger brother of Johann Strauss, jr., Eduard was the last of the family to continue public concertizing. An eight-bar presentation phrase eventually induces a direct resolution of V_9 to I : bars 7-8. The cadence is another of the SDT variety with cadential dominant.

9C. 1. **WALTZ.**

In the second waltz, $\wedge 6$ as accented dissonance over the cadential dominant: an increasingly common device by end of the century.

Finally, in the fourth waltz, a definite I^{add6} with repetition over V to make V_9 —but the ninth is dropped in the cadence (last two bars of the example).

9C. 4. **WALTZ.**

Late in the century

Tchaikovsky, *Nutcracker*, Waltz of the Flowers

The distinctive sound of Tchaikovsky's waltzes comes in part from their orchestration, which is symphonic, in the sense of a concert hall sound, with variety in the treatment of the groups and more subtlety in their mixing than is usually the case in Strauss family waltzes, which are more string-section driven, with other groups used to fill or embellish. Formal designs, melodic shapes, and characteristic harmonies, on the other hand, are all familiar from the Viennese repertoire, with the single exception that Tchaikovsky rarely writes the kind of light, staccato strain derived ultimately from Rossini and used very often as the second strain (or second waltz) in a Strauss set. The main theme of the Waltz of the Flowers has an opening pedal and accented dissonances in both first and second phrases, both common enough. The fully diminished seventh chord is *not* common, and has the effect here of replacing \wedge^6 with \wedge^b6 , except in a single bar (see the arrow in the second system).

The image displays three systems of musical notation for the piece "Dolce Cantando" by Debussy. Each system consists of a piano (p) and bass (b) staff. The first system includes a treble staff with a melodic line and a bass staff with accompaniment. The second system shows a piano staff with a melodic line and a bass staff with accompaniment. The third system shows a piano staff with a melodic line and a bass staff with accompaniment. The harmonic analysis is provided below the piano staff of each system.

System 1: The piano staff begins with a treble clef and a key signature of one sharp (F#). The tempo/mood is marked "dolce cantando". The first measure is marked *p* (piano). The second measure is marked *mp* (mezzo-piano). The third measure is marked *f* (forte). The bass staff has a key signature of one sharp (F#). The harmonic analysis below the piano staff is: D: I.

System 2: The piano staff begins with a treble clef and a key signature of one sharp (F#). The tempo/mood is marked *p* (piano). The second measure is marked *cresc.* (crescendo). The third measure is marked *mf* (mezzo-forte). The bass staff has a key signature of one sharp (F#). The harmonic analysis below the piano staff is: V6, +6/ii, ii (6/4), 6, 5/3.

System 3: The piano staff begins with a treble clef and a key signature of one sharp (F#). The tempo/mood is marked *p* (piano). The bass staff has a key signature of one sharp (F#). The harmonic analysis below the piano staff is: 6/4), +6, V7, I.

In the second waltz, sweeping legato figures create some remarkable (and perhaps unanalyzable) dissonances along with some simple consonances—see the boxes. As result, though $\wedge 6$ is present in bars 2-3 it's hard to evaluate it.



Figures in the upper tetrachord of the octave are certainly present, but $\wedge 6$ is not much of a force in pushing higher toward the cadence, the effect we have repeatedly seen in earlier waltzes. Instead, it the woodwinds' phrase-end punctuations—see the asterisks—that start and stay on $\wedge 7$ and $\wedge 8$. Note that $\wedge 6$ gets a brief nod in the second and third bars of (b).



A more typical $\wedge 6$ in the second strain: at the asterisks, V_9 with repetition of $\wedge 6$ over the tonic chord in the subsequent measure.



Fauré, *Dolly-Suite*, Kitty-Valse

Almost contemporary with the *Waltz of the Flowers*, Gabriel Fauré's waltz from the *Dolly-Suite* opens with the same figures, in reversed rhythms. The 12-bar antecedent for a 24? 32? bar compound theme is striking. The freedom with complex sonorities and mediant substitutions in the first section is, too. If the basic harmonic progression is simple: TSDT cycle in bars 1-4, then a cycle of fifths (c-f-Bb-Eb), the sonorities continually offer small but piquant nuances, starting with an unequivocal IV^{add6} , then conjuring up what might be a V_{13} (where we are prevented from imagining a resolution of G into F by the F# in the left hand); c^{o7} , as a supertonic of Bb (and alteration of the c7 that preceded it), is a more typical chromatic nuance, but the F7 that follows might be f7 (if G#3 is actually Ab) before it clearly becomes a dominant of Bb, and the expected Bb is heard first in its third substitute: iii rather than V. And so on.

Eb: I IV^{add6} $\text{V}_{13} ?$ I^{add6} ($\wedge 5$)
 vi7 ————— Bb: $\text{ii}\emptyset 4/3$
 Eb: V7/V (9) iii6 V4/3 I

The consequent turns out to be 12 bars, also, with a cadence that combines the one thing we haven't seen yet—an elision (or missing chord in a proper functional progression)—and a rising melodic figure in the cadence:

Eb: I **IVadd6**

V (13?) ——— **F minor 6/3? or within Bb9?**

V7/V **iii** **C9** **(F?) V7** **I**
 (as if Bb: vi) (elided)

The second section is another waltz, 16 bars this time, repeated. The close is interesting in that V13 is now clearly presented, confirmed by a delay in the resolution of G to F, that delay creating a transient $\flat 9$ over the tonic:

mf (13) (9)

A trio in Ab follows the second waltz, after which the 24 bars of the first waltz are given again, followed by a one-page coda in which $\wedge 6$ does not play a significant role.

Chaminade, *Valse-Caprice*, op. 33

The ambiguity of ii and V(9?) at (a) and the emphatic V9s at (b)—note the pedal—that just barely resolve the ninth at (c) are both charming features of the introduction to Cécile Chaminade's *Valse-Caprice*.

Allegro. (♩ = 88)

PIANO.

mf marcato

cresc. marcatisimo

(a)

cresc.

(b)

f cresc.

Ped.

(c)

star - gan - do. sff

Ped.

In the first waltz I^{add6} is clear and thematic (bar 1), a status left without any doubt at all in the reprise (at b).

Furthermore, \wedge^6 is now entirely free of its obligations as neighbor to \wedge^5 : in bar 2, it moves up chromatically through $\wedge^{\#6}$ (as B-natural) and \wedge^7 to \wedge^8 .

(a)

a tempo.

p

Led. *

(b)

a tempo.

ff
brillante.

Led. *

Debussy, Valse romantique

Published in 1890, this waltz already emphasizes the tentative but extended non-tonic openings that are stylistic markers of Debussy's music. In the second strain of the principal theme, as in Fauré's Kitty-Valse, the harmonic progression is simple: ii, then V reaches I by bar 5; vi - V/V - V9.

Tempo rubato

p

mf

dim.

cresc.

$\wedge 6$ in ii

$\wedge 6$ in V

The second strain collapses into a transition (at “Tempo” below), where we can luxuriate in the sound of the dominant ninth chord—here understood as $A\flat: V_9/V$ (boxes). That’s not where it ends up, though, as the shift of a bass note downward to $A\flat$ (box in the third system) enables a move to a G major triad as V of a C minor that also does not arrive; instead, another bass note shift down brings back the first strain (arrow in the fourth system).

The musical score is divided into four systems, each with a piano (p) and voice part. The key signature is three flats (B-flat, E-flat, A-flat).

- System 1:** The piano part features a dominant ninth chord, $A\flat: V_9/V$, which is boxed. The voice part has a melodic line with a slur over the first two measures.
- System 2:** The piano part continues with the $A\flat: V_9/V$ chord, which is boxed. The voice part has the lyrics "cre - - - scen - - - do" under a slur. A box highlights the first measure of the piano part.
- System 3:** The piano part features a dominant ninth chord, $A\flat: V_9/V$, which is boxed. The voice part has a melodic line with a slur over the first two measures. A box highlights the first measure of the piano part.
- System 4:** The piano part features a dominant ninth chord, $A\flat: V_9/V$, which is boxed. The voice part has a melodic line with a slur over the first two measures. A box highlights the first measure of the piano part. The tempo changes to "1^o Tempo" and the dynamics change to *pp* (pianissimo).

Victor Herbert

Born in Ireland, raised in London, and trained in Germany, Victor Herbert was a professional musician who eventually landed in the United States at age 27 as the principal cellist of the Metropolitan Opera in New York. He was very active as a soloist as well, continued composing, and before long took up conducting. He wrote concert music and operas, but in 1894 (at age 35) wrote his first operettas, whose success inspired him to continue. After a hiatus, he composed more operettas, including one still generally known today: *Babes in Toyland* (1903). Others that followed it include *Mlle. Modiste* (1905), *The Red Mill* (1906), *Naughty Marietta* (1910), and *Sweethearts* (1913).

The overture to *The Only Girl* (1914) interests me because of the peculiar harshness of the accented dissonances in its opening waltz. At (a), the add6 seems to be taken for granted, $\wedge 6$ hardly extinguished by the last-moment $\wedge 5$ in an inner voice. At (b), 11 (E6) more plausibly resolves into the 10 (D5) on beat 3, this figure being in any case a staple of the Viennese repertoire, but at (c) the dissonances up the ante as the underlying chord surely is V but the inner voices offer iii and the upper voices seem to ignore them with D5 as 7, G# of course as 3, and C# as 13. All this is correctly realized in the next bar, but at (d) to the ninth of the tonic. In this instance we have to assume an inner-voice resolution that is not in the piano reduction (I have noted an "A4?").

At (e) the sound of V9 is unmistakable. Whether any of the eighth-notes in that and the following bars "resolve" the 9 is open to question.

The last striking moment, then, is the resolution of the dominant into an antecedent-ending tonic (the theme is 32 bars, in keeping with many waltzes after 1860). At (f), the chord is I7. Since this ends a formal section, it is difficult to hear it as anything other than a sound unto

itself, a “proper chord,” even when it can be heard to resolve into the add6 in bar 17, as the consequent begins.

A musical score snippet in G major (two sharps). The top staff is in treble clef, and the bottom staff is in bass clef. The key signature is G major. The music shows a sequence of chords and melodic lines. In bar 17, there is a chord in the treble staff with a circled note (F#5) and an arrow pointing to it with the text "to F#5?". The bass staff has a chord marked with a forte dynamic "(f)". The number "17" is written above the treble staff in bar 17.

Concluding comment

The small slice of the Ländler and later waltz repertoire examined here should have confirmed the point I made at the beginning, that the various waltzing dances had a role in establishing nineteenth-century treatments of $\wedge 6$ and the more complex harmonic entities that followed from prolonged appoggiaturas and suspensions. I might have made the point more directly or more emphatically by just showing the end points, by doing, say, a compare/contrast between Schubert's *Valses sentimentales* and Ravel's *Valses nobles et sentimentales*, but I prefer the richer history that comes with a variety of musics, some of which may sit outside the most common textbook narratives in harmony training or in music history.